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DAVID S ALAVI
3762 WEST 11TH AVENUE
#408
EUGENE, OR 97402

CONFIRMATION NO. 1501



OC000000006021920

Date Mailed: 04/30/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

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An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
 - Total additional claim fee(s) for this application is \$120.
 - **\$120** for 3 independent claims over 3 .
 - The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
 - To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
 - **The balance due by applicant is \$ 540.**

*A copy of this notice **MUST** be returned with the reply.*

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

0/07/2001 07EEE0W1 000000137 097000300

1 FC:201
2 FC:203
3 FC:205
4 FC:206

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08-02-01

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Page 1 of 4

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/788,300	02/16/2001	2874	0.00	ALG08NP	17	14	6

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DAVID S ALAVI
3762 WEST 11TH AVENUE
#408
EUGENE, OR 97402

CONFIRMATION NO. 1501

FILING RECEIPT



OC000000006021919

Date Mailed: 04/30/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Kerry J. Vahala, Monrovia, CA;
Peter C. Sercel, Monrovia, CA;
David W. Vernooy, Monrovia, CA;
Oskar J. Painter, Monrovia, CA;
Guido Hunziker, Monrovia, CA;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/183,499 02/17/2000
AND CLAIMS BENEFIT OF 60/226,147 08/18/2000
AND CLAIMS BENEFIT OF 60/111,484 12/07/1998
AND CLAIMS BENEFIT OF 60/108,358 11/13/1998
AND CLAIMS BENEFIT OF 60/257,248 12/21/2000
AND CLAIMS BENEFIT OF 60/257,218 12/21/2000
AND CLAIMS BENEFIT OF 60/170,074 12/09/1999

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Foreign Applications

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

Resonant optical filters

Preliminary Class

385

Data entry by : HAILE, MENTUAB

Team : OIPE

Date: 04/30/2001



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Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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- o The docket number allows a maximum of 25 characters.
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PTO/SB/17 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 2109)

Complete if Known

Application Number	09/788,300
Filing Date	02/16/2001
First Named Inventor	Kerry J. Vahala
Examiner Name	
Group Art Unit	

Attorney Docket No. ALG08NP

METHOD OF PAYMENT		FEE CALCULATION (continued)					
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:		3. ADDITIONAL FEES					
Deposit Account Number <input type="text"/>		Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid
Deposit Account Name <input type="text"/>		105	130	205	65	Surcharge - late filing fee or oath	65
<input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17		127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		139	130	139	130	Non-English specification	
2. <input checked="" type="checkbox"/> Payment Enclosed:		147	2,520	147	2,520	For filing a request for ex parte reexamination	
<input type="checkbox"/> Check <input checked="" type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other		112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
FEE CALCULATION		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
1. BASIC FILING FEE		115	110	215	55	Extension for reply within first month	55
Large Entity Small Entity		116	390	216	195	Extension for reply within second month	
Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid		
101 710	201	355	Utility filing fee	355			
106 320	206	160	Design filing fee				
107 490	207	245	Plant filing fee				
108 710	208	355	Reissue filing fee				
114 150	214	75	Provisional filing fee				
SUBTOTAL (1) (\$ 355)							
2. EXTRA CLAIM FEES		119	310	219	155	Notice of Appeal	
Total Claims	46	-20** = 26	X 9	= 234			
Independent Claims	38	-3** = 35	X 40	= 1400			
Multiple Dependent							
Large Entity Small Entity		120	310	220	155	Filing a brief in support of an appeal	
Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid		
103 18	203	9	Claims in excess of 20	121	270	221	135
102 80	202	40	Independent claims in excess of 3	122	130	122	130
104 270	204	135	Multiple dependent claim, if not paid	123	130	123	130
109 80	209	40	** Reissue independent claims over original patent	126	180	126	180
110 18	210	9	** Reissue claims in excess of 20 and over original patent	144	600	244	300
SUBTOTAL (2) (\$ 1634)		145	440	243	220	Design issue fee	
*or number previously paid, if greater; For Reissues, see above		146	710	246	355	Plant issue fee	
		147	710	249	355	Petitions to the Commissioner	
		148	710	279	355	Petitions related to provisional applications	
		149	710	249	355	Submission of Information Disclosure Stmt	
		150	710	246	355	Recording each patent assignment per property (times number of properties)	
		151	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
		152	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
		153	710	279	355	Request for Continued Examination (RCE)	
		154	900	169	900	Request for expedited examination of a design application	
		Other fee (specify) _____				SUBTOTAL (3) (\$ 120)	
		*Reduced by Basic Filing Fee Paid					

SUBMITTED BY						Complete (if applicable)		
Name (Print/Type)	David S. Alavi	Registration No. (Attorney/Agent)	40,310	Telephone	541-346-4619			
Signature	<i>David S. Alavi</i>						Date	07/30/2001

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Approved for use through 10/31/2002. OMB 0651-0031

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

40

Application Number

09/788,300

Filing Date

02/16/2001

First Named Inventor

Vahala

Group Art Unit

Examiner Name

Attorney Docket Number

ALG08NP

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): - corrected Filing Receipt - postcard receipt
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	David S. Alavi Reg. No. 40,310
Signature	
Date	07/30/2001

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Signature	
Date	07/30/2001

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